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**Fax Transmittal**

From John C. Stellabotte  
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To: Examiner Sara M. Chandler  
Company: United States Patent and Trademark Office -  
Message

Sender's Room Number 17-44  
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Re: Inventor : Philip Koh-Kwe Hsu  
Serial No. : 09/687,892  
Filing Date : October 13, 2000  
Title : A COMPUTER SYSTEM AND A METHOD FOR MANAGING A  
Att'y Docket : FINANCIAL TRANSACTION  
74622-014

Please find enclosed a Draft Amendment (without Remarks) and Agenda for our interview this afternoon. We respectfully request that the enclosed draft be limited to use for discussion purposes at the interview only and that this draft not be placed in the file as part of the formal record for this application.

Please do not hesitate to contact me if you have any questions or comments.

Thank you,

Respectfully submitted,

John C. Stellabotte  
Reg. No. 47,969

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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PATENT  
Attorney Docket No.: 74622-014

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of : Philip Koh-Kwe Hsu, et al.  
Serial No. : 09/687,892  
Filing Date : October 13, 2000  
Entitled : SYSTEM AND METHOD FOR DELIVERING A FINANCIAL MESSAGE  
Examiner : Sara M. Chandler  
Group Art Unit: 3628

**DRAFT AMENDMENT (WITHOUT REMARKS) AND PROPOSED AGENDA**

**Listing of Claims**

I. (currently amended) A computer system for delivering enabling an internal user to deliver at least one financial messages to a client user, different from the internal user, regarding financial activity, the computer system comprising at least one computing device comprising:

a registration program configured to register the client user and determine the financial messages to be received by the client user;

a message creation system program configured to monitor financial activity and an investment account of the client user, create the financial messages as requested by the client user regarding the monitored financial activity and the client user's investment account, and deliver the financial messages to the client user; and

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an intervention system program configured to allow ~~an~~ the internal user of the system to at least one of add to and edit ~~content of a~~ the financial messages to a the client user prior to delivery.

17. (currently amended) An internal user interface system for an internal user of a financial message delivery system, the interface system comprising:

means for designating ~~client user~~ message preferences of a client user for receiving client user messages from an internal user, different from the client user, concerning financial activity and the client user's investment account;

means for designating internal user message preferences for sending internal user messages to the client user concerning financial activity and the client user's investment account;

means for the internal user to viewing the client user messages or the internal user messages;

~~means for replying to client user messages;~~

means for creating automatically generating messages to be sent to the client user in accordance with the designated client user preferences; and

means for the internal user to add to or edit content of the automatically generated messages; and

means for the client user to searching for messages sent to or received from for a the client user.

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18. (currently amended) A computerized method for delivering a financial messages to a client user from an internal user, different from the client user, related to an investment account of the client user in a financial communication system, comprising the steps of:

gathering client user message preferences from the client user concerning content of the financial messages;

monitoring financial activity and the investment account of the client user;  
automatically creating a client user the financial messages in accordance with the client user message preferences; and

providing a user interface allowing an internal user to add a personalized note to the financial messages delivered to the client user prior to delivery.

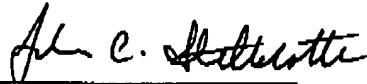
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**PROPOSED AGENDA**

- I. Brief explanation of the invention.
- II. The May 4, 2006 Office Action's rejection of Claims 1-21, under 35 U.S.C. 103(a), as being unpatentable over Reed (US Patent No. 6,088,717), in view of Hanson (U.S. Patent No. 6,505,233).
- III. Our proposed amendment of independent Claims 1, 17, and 18 as set forth above.

Respectfully submitted,

PROSKAUER ROSE LLP  
Attorneys for Applicants

By   
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Reg. No. 47,969

Date: July 31, 2006

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